



PTO/SB/21 (09-04) (AW 10/2004)

Approved for use through 7/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number 10/583,105

Filing Date 6/15/2006

First Named Inventor Nadarajah Narendran

Art Unit 2875

Examiner Name

Attorney Docket No. RPI-134US

ENCLOSURES (Check all that apply)

- ☐ Fee Transmittal Form
☐ Fee Attached
- ☐ Amendment/Reply
☐ After Final
☐ Affidavits/Declaration(s)

- ☐ Extension of Time Request
- ☐ Express Abandonment Request

☒ Information Disclosure Statement☐ Certified Copy of Priority Document(s)

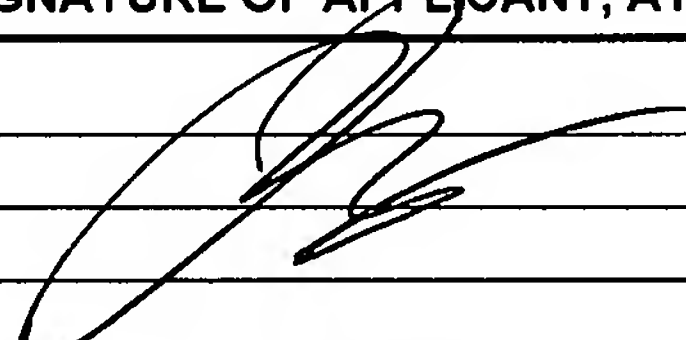
- ☐ Response to Missing Parts/
Incomplete Application
☐ Response to Missing Parts
under 37 CFR 1.52 or 1.53

- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a
Provisional Application
- ☐ Power of Attorney, Revocation,
Change of Correspondence
Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) _____
☐ Landscape Table on CD

- ☐ After Allowance Communication
to TC
- ☐ Appeal Communication to Board
of Appeals and Interferences
- ☐ Appeal Communication to TC
(Appeal Notice, Brief, Reply
Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please
identify below): 6 pgs.
PTO/SB/08a-08b; 10 cited
references; post card receipt

Remarks:**SIGNATURE OF APPLICANT, ATTORNEY OR AGENT**

Firm Name RanterPrestia

Signature 

Printed Name Jacques L. Etkowicz

Date May 3, 2007

Registration No. 41,738

CERTIFICATE OF TRANSMISSION / MAILING

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Typed or Printed Name Denise Morgan

Date May 3, 2007

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Office, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, ALEXANDRIA, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appln. No: 10/583,105
Applicants: Nadarajah Narendran et al.
Filed: June 15, 2006
Title: High Efficiency Light Source Using Solid-State Emitter and Down-Conversion Material
TC/A.U.: 2875
Examiner:

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. § 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed on the PTO/SB/08a and PTO/SB/08b forms submitted herewith. A copy of the references listed on the PTO/SB/08a and PTO/SB/08b form, other than U.S. patents, is enclosed.

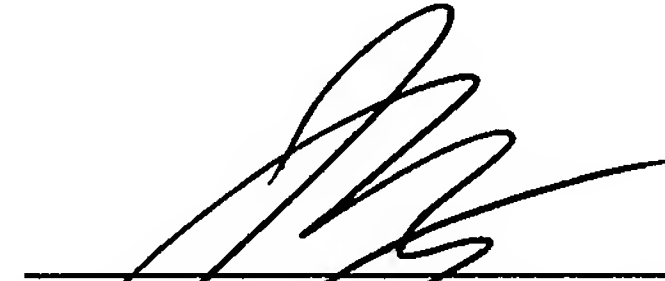
Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

References JP 2001-243807, JP 2002-299694, JP 2001-243821, JP 2004-055160, and JP 2004-055229, are not in the English language, but an English abstract thereof is attached to the copy of the reference submitted herewith.

This Information Disclosure Statement is being filed before mailing of the first Official Action on the merits. No first Official Action on the merits has yet been received and it is presumed that none has yet been mailed. No fee or statement is required. 37 C.F.R. § 1.97(b).

Respectfully submitted,



Jacques L. Etkowicz, Reg. No. 41,738
Stanley Weinberg, Reg. No. 25,276
Attorneys for Applicants

SW/dhm

Enclosures: PTO/SB/08a and PTO/SB/08b
(10) References

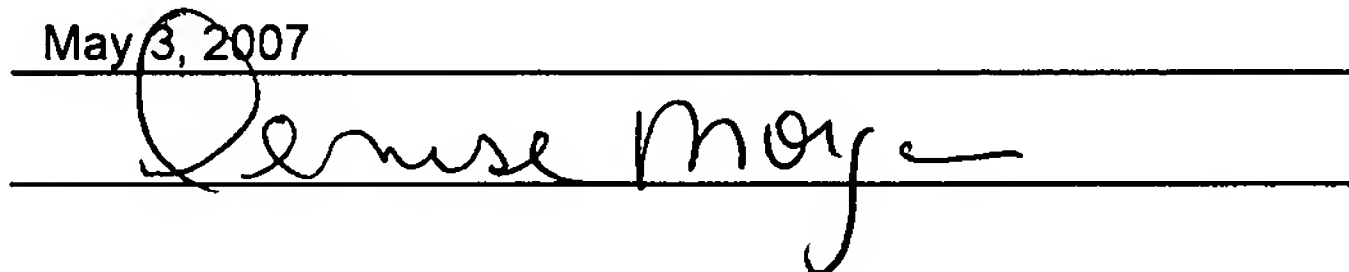
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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

SHEET 1 of 6

Complete if Known

Application Number	10/583,105
Filing Date	6/15/2006
First Named Inventor	Nadarajah Narendran
Art Unit	2875
Examiner Name	
Attorney Docket No.	RPI-134US

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
		US-3,760,237	09/18/1973	Jaffe	
		US-3,763,405	10/02/1973	Mitsuhata	
		US-5,208,462	05/04/1993	O'Connor, et al.	
		US-5,477,430	12/19/1995	LaRose	
		US-5,499,138	03/12/1996	Iba	
		US-5,777,433	07/07/1998	Lester et al.	
		US-5,808,409	09/15/1998	Matsuda et al.	
		US-5,813,753	09/29/1998	Vriens et al.	
		US-5,847,507	12/08/1998	Butterworth et al.	
		US-5,962,971	10/05/1999	Chen	
		US-5,998,925	12/07/1999	Shimizu et al.	
		US-6,007,209	12/28/1999	Pelka	
		US-6,066,861	05/23/2000	Höhn et al.	
		US-6,068,383	05/30/2000	Robertson et al.	
		US-6,084,250	07/04/2000	Jüstel et al.	
		US-6,096,496	08/01/2000	Frankel	
		US-6,155,699	12/05/2000	Miller et al.	
		US-6,245,259	06/12/2001	Höhn et al.	
		US-6,294,800	09/25/2001	Duggal et al.	
		US-6,357,889	03/19/2002	Duggal et al.	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
		JP 2001-243807	09/07/2001	Mitsubishi Electric Lighting Corp.		<input type="checkbox"/>
		JP 2001-243821	09/07/2001	Mitsubishi Electric Lighting Corp.		

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

¹Applicant's unique citation designation number (optional).

²See Kind Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04.

³Enter Office that issued the document, by the two-letter code (WIPO Standard St.3).

⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Complete If Known

Application Number	10/583,105
Filing Date	6/15/2006
First Named Inventor	Nadarajah Narendran
Art Unit	2875
Examiner Name	
Attorney Docket No.	RPI-134US

SHEET 2 of 6

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
		US-6,469,322	10/22/2002	Srivastava et al.	
		US-6,483,196	11/19/2002	Wojnarowski et al.	
		US-6,576,930	06/10/2003	Reeh et al.	
		US-6,614,170	09/02/2003	Wang et al.	
		US-6,635,363	10/21/2003	Duclos et al.	
		US-6,635,987	10/21/2003	Wojnarowski et al.	
		US-6,653,765	11/25/2003	Levinson et al.	
		US-6,686,676	02/03/2004	McNulty et al.	
		US-6,791,259	09/14/2004	Stokes et al.	
		US-6,793,374	09/21/2004	Begemann	
		US-6,796,690	09/28/2004	Bohlander	
		US-6,799,865	10/05/2004	Ellens et al.	
		US-6,833,565	12/21/2004	Su et al.	
		US-6,867,542	03/15/2005	Sun et al.	
		US-6,936,857	08/30/2005	Doxsee et al.	
		US-7,002,291	02/21/2006	Ellens et al.	
		US-7,026,656	04/11/2006	Lin et al.	
		US-7,040,774	05/09/2006	Beeson et al.	
		US-7,048,385	05/23/2006	Beeson et al.	

FOREIGN PATENT DOCUMENTS

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		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
		JP 2002-299694	10/11/2002	Mitsubishi Electric Lighting Corp		<input type="checkbox"/>

Examiner Signature	Date Considered
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PTO/SB/08a (07-05) (TMB 07/2005)

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Application Number	10/583,105
Filing Date	6/15/2006
First Named Inventor	Nadarajah Narendran
Art Unit	2875
Examiner Name	
Attorney Docket No.	RPI-134US

SHEET 3 of 6**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. ¹	Document Number	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
		US-7,049,740	05/23/2006	Takekuma	
		US-7,052,152	05/30/2006	Harbers et al.	
		US-2002/0003233	01/10/2002	Mueller-Mach et al.	
		US-2002/0030444	03/14/2002	Muller-Mach et al.	
		US-2002/0084745	07/04/2002	Wang et al.	
		US-2002/0167014	11/14/2002	Schlereth et al.	
		US-2003/0174499	09/18/2003	Bohlander	
		US-2003/0189829	10/09/2003	Shimizu et al.	
		US-2003/0201451	10/30/2003	Suehiro et al.	
		US-2004/0116033	06/17/2004	Ouderkirk et al.	
		US-2004/0124758	07/01/2004	Danielson et al.	
		US-2004/0129945	07/08/2004	Uemura	
		US-2004-0203312	10/14/2004	Bortscheller et al.	
		US-2004/0233664	11/25/2004	Beeson et al.	
		US-2004/0263073	12/30/2004	Baroky et al.	
		US-2005/0041424	02/24/2005	Ducharme	
		US-2005/0073495	04/07/2005	Harbers et al.	
		US-2005/0093430	05/05/2005	Ibbetson et al.	

FOREIGN PATENT DOCUMENTS

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		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
		JP 2004-055160	02/19/2004	Mitsubishi Electric Lighting Corp.		<input type="checkbox"/>
		JP 2004-055229	02/19/2004	Mitsubishi Electric Lighting Corp.		<input type="checkbox"/>
Examiner Signature				Date Considered		

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Art Unit	2875
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Attorney Docket No.	RPI-134US

SHEET 4 of 6

U.S. PATENT DOCUMENTS

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		Number - Kind Code ² (if known)			
		US-2005/0116635	06/02/2005	Walson et al.	
		US-2005/0117125	06/02/2005	Minano et al.	
		US-2005/0117366	06/02/2005	Simbal	
		US-2005/0135117	06/23/2005	Lamb et al.	
		US-2005/0162849	07/28/2005	Keuper	
		US-2005/0174775	08/11/2005	Conner	
		US-2005/0185419	08/25/2005	Holman et al.	
		US-2005/0211991	09/29/2005	Mori et al.	
		US-2005/0219476	10/06/2005	Beeson et al.	
		US-2005/0237488	10/27/2005	Yamasaki et al.	
		US-2005/0248958	11/10/2005	Li	
		US-2005/0265029	12/01/2005	Epstein et al.	
		US-2005/0276553	12/15/2005	Kazakevich	
		US-2005/0280785	12/22/2005	Beeson et al.	
		US-2006/0002141	01/05/2006	Ouderkirk et al.	
		US-2006/0034082	02/16/2006	Park et al.	
		US-2006/0044523	03/02/2006	Teijido et al.	
		US-2006/0049416	03/09/2006	Baretz et al.	
		US-2006/0066192	03/30/2006	Beeson et al.	
		US-2006/0067078	03/30/2006	Beeson et al.	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
						<input type="checkbox"/>
						<input type="checkbox"/>

Examiner Signature		Date Considered	
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SHEET 6 of 6

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Application Number	10/583,105
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First Named Inventor	Nadarajah Narendran
Art Unit	2875
Examiner Name	
Attorney Docket No.	RPI-134US

NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		AKOS BORBELY, ET AL., Prediction of Light Extraction Efficiency of LEDs by Ray Trace Simulation, Third International Conference on Solid State Lighting, Proc. of SPIE Vol. 5187, pp. 301-308 (2004)*	<input type="checkbox"/>
		D.A. VANDERWATER ET AL., High-Brightness AlGaInP Light Emitting Diodes, Proceedings of the IEE, Vol. 85, No. 11, November 1997, pp. 1752-1764	<input type="checkbox"/>
		KENICHI YAMADA ET AL., Optical Simulation of Light Source Devices Composed of Blue LEDs and YAG Phosphor, J. Light & Vis. Env. Vol. 27, No. 2, 2003, pp 70-74	<input type="checkbox"/>
		N. NARENDHAN ET AL., Solid-state Lighting: failure analysis of white LEDs, Journal of Crystal Growth, 268 (2004) pp -449-456	<input type="checkbox"/>
		M. ARIK ET AL., Effects of Localized Heat Generations Due to the Color Conversion in Phosphor Particles and Layers of High Brightness Light Emitting Diodes, American Society of Mechanical Engineers (ASME), Proceedings of InterPACK '03, International Electronic Packaging Technical Conference and Exhibition, Maui, Hawaii, July 2003, pp 1-9, title page, copyright page and abstract page.	<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>

Examiner Signature		Date Considered	
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